

**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**Declaration  
Submitted  
with Initial  
Filing

OR

Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number

CQC13NP

First Named Inventor

Painter

**COMPLETE IF KNOWN**

Application Number

Filing Date

Art Unit

Examiner Name

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

RESONANT OPTICAL MODULATORS

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

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**DECLARATION — Utility or Design Patent Application**Direct all correspondence to: ☒Customer Number  
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Name

Address

City

State

ZIP

Country

Telephone

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventorGiven Name Oskar J.  
(first and middle [if any])Family Name Painter  
or SurnameInventor's  
Signature 

Date 12/18/01

Pasadena

CA

US

CA

Residence: City

State

Country

Citizenship

Mailing Address cQuint Communications, 427 East Huntington Drive

Monrovia

CA

91016

US

City

State

ZIP

Country

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventorGiven Name Peter C.  
(first and middle [if any])Family Name Sercel  
or SurnameInventor's  
Signature 

Date 12/18/2001

Pasadena

CA

US

US

Residence: City

State

Country

Citizenship

Mailing Address cQuint Communications, 427 East Huntington Drive

Monrovia

CA

91016

US

City

State

ZIP

Country

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

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**DECLARATION****ADDITIONAL INVENTOR(S)**  
**Supplemental Sheet**  
Page 1 of 1**Name of Additional Joint Inventor, if any:**☐ A petition has been filed for this unsigned inventorKerry J.  
Given  
NameVahala  
Family Name  
or SurnameInventor's  
Signature

Date

12/18/2001

San Gabriel  
Residence: CityCA  
StateUS  
CountryUS  
CitizenshipcQuint Communications, 427 East Huntington Drive  
Mailing Address

Mailing Address

City Monrovia

CA  
State91016  
ZIPUS  
Country**Name of Additional Joint Inventor, if any:**☐ A petition has been filed for this unsigned inventorDavid W.  
Given  
NameVernooy  
Family Name  
or SurnameInventor's  
Signature

Date

Dec. 18, 2001

Sierra Madre  
Residence: CityCA  
StateUS  
CountryCA  
CitizenshipcQuint Communications, 427 East Huntington Drive  
Mailing Address

Mailing Address

City Monrovia

CA  
State91016  
ZIPUS  
Country**Name of Additional Joint Inventor, if any:**☐ A petition has been filed for this unsigned inventorGuido  
Given  
NameHunziker  
Family Name  
or SurnameInventor's  
Signature

Date

12/18/01

Altadena  
Residence: CityCA  
StateUS  
CountryCH  
CitizenshipcQuint Communications, 427 East Huntington Drive  
Mailing Address

Mailing Address

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CA  
State91016  
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PTO/SB/81 (02-01)

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## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	
Filing Date	
First Named Inventor	Painter
Title	Resonant optical modulators
Group Art Unit	
Examiner Name	
Attorney Docket Number	CQC13NP

I hereby appoint:

☒ Practitioners at Customer Number

26719



OR

☐ Practitioner(s) named below:

Name	Registration Number

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I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name

Oskar J. Painter

Signature

Date

12/18/01

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 5 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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Filing Date

First Named Inventor

Painter

Title

Resonant optical modulators

Group Art Unit

Examiner Name

Attorney Docket Number

CQC13NP

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### SIGNATURE of Applicant or Assignee of Record

Name

Peter C. Sercel

Signature

Date

12/18/2001

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First Named Inventor

Title

Group Art Unit

Examiner Name

Attorney Docket Number

Painter

Resonant optical modulators

CQC13NP

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### SIGNATURE of Applicant or Assignee of Record

Name

Kerry J. Vahala

Signature

Date

Dec 18, 2001

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First Named Inventor

Painter

Title

Resonant optical modulators

Group Art Unit

Examiner Name

Attorney Docket Number

CQC13NP

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### SIGNATURE of Applicant or Assignee of Record

Name

David W. Vernoooy

Signature

Date

Dec. 18, 2001

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First Named Inventor

Title

Group Art Unit

Examiner Name

Attorney Docket Number

Painter

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Name

Guido Hunziker

Signature

G. Hunziker

Date

12/18/01

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